

# Executive Branch Personnel

## Public Financial Disclosure Report (OGE Form 278e)

### Filer's Information

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**Desmond, Michael Joseph**

Chief Counsel, Internal Revenue Service, Department of the Treasury

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Other Federal Government Positions Held During the Preceding 12 Months:

None

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Names of Congressional Committees Considering Nomination:

- **Committee on Finance**
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Electronic Signature - I certify that the statements I have made in this form are true, complete and correct to the best of my knowledge.

**/s/ Desmond, Michael Joseph [electronically signed on 12/29/2017 by Desmond, Michael Joseph in Integrity.gov]**

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Agency Ethics Official's Opinion - On the basis of information contained in this report, I conclude that the filer is in compliance with applicable laws and regulations (subject to any comments below).

**/s/ Horton, Elizabeth A, Certifying Official [electronically signed on 03/08/2018 by Horton, Elizabeth A in Integrity.gov]**

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Other review conducted by

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U.S. Office of Government Ethics Certification

/s/ Apol, David, Certifying Official [electronically signed on 03/14/2018 by Apol, David in Integrity.gov]

## 1. Filer's Positions Held Outside United States Government

#	ORGANIZATION NAME	CITY, STATE	ORGANIZATION TYPE	POSITION HELD	FROM	TO
1	Law Offices of Michael J. Desmond, APC	Santa Barbara, California	Law Firm	Shareholder/Fo under	1/2012	Present
2	University of California Santa Barbara Alumni Association	Santa Barbara, California	Non-Profit	Member, Board of Directors	6/2017	Present
3	Revocable Living Trust	Santa Barbara, California	Trust	Trustor & Trustee	7/2012	Present

## 2. Filer's Employment Assets & Income and Retirement Accounts

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	Law Offices of Michael J. Desmond, APC (law firm)	N/A		Salary/Bonus	\$560,289
2	Law Offices of Michael J. Desmond, APC, law firm stock	N/A	\$100,001 - \$250,000	Retained and distributed corporate earnings.	\$26,033
3	Powershares Senior Loan ETF	Yes	\$50,001 - \$100,000		\$1,001 - \$2,500
4	Schwab US Broadmarket ETF	Yes	\$100,001 - \$250,000		\$2,501 - \$5,000
5	Schwab US Dividend Equity ETF	Yes	\$50,001 - \$100,000		\$5,001 - \$15,000
6	Schwab US Large Cap ETF	Yes	\$100,001 - \$250,000		\$2,501 - \$5,000
7	Ares Capital Corp	N/A	\$1,001 - \$15,000	Dividends	\$1,001 - \$2,500

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
8	Ishares Select Dividend ETF	Yes	\$1,001 - \$15,000		\$201 - \$1,000
9	Powershares Preferred Portfolio ETF	Yes	\$15,001 - \$50,000		\$2,501 - \$5,000
10	Schwab Emerging Markets Equity ETF	Yes	\$100,001 - \$250,000		\$2,501 - \$5,000
11	Schwab International Equity ETF	Yes	\$100,001 - \$250,000		\$1,001 - \$2,500
12	Schwab International Small Cap Equity ETF	Yes	\$100,001 - \$250,000		\$2,501 - \$5,000
13	Schwab US Dividend Equity ETF	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
14	Schwab Large Cap Growth ETF	Yes	\$100,001 - \$250,000		\$2,501 - \$5,000
15	SPDR Global Dow ETF	Yes	\$1,001 - \$15,000		\$201 - \$1,000
16	Vanguard REIT ETF	Yes	\$1,001 - \$15,000		\$201 - \$1,000
17	AMG Managers Montag & Caldwell Growth Class I	Yes	\$50,001 - \$100,000		\$201 - \$1,000
18	Fidelity Diversified Intl	Yes	\$100,001 - \$250,000		\$2,501 - \$5,000
19	Lord Abbett Small Cap Value I	Yes	\$50,001 - \$100,000		None (or less than \$201)
20	MFS Instl Intl Equity	Yes	\$50,001 - \$100,000		\$1,001 - \$2,500
21	Schwab Markettrack All Equity	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500

### 3. Filer's Employment Agreements and Arrangements

#	EMPLOYER OR PARTY	CITY, STATE	STATUS AND TERMS	DATE
1	Law Offices of Michael J. Desmond, APC	Santa Barbara, California	Upon confirmation, I will dissolve my 100% owned professional corporation and receive a liquidating distribution. All amounts owed to me by any of my clients will be fixed before I assume the duties of the position of Chief Counsel. I will cease providing services to my clients and I will refer them to other legal counsel for any ongoing legal matters. I will complete all such referrals before I assume the duties of the position of Chief Counsel.	1/2012

### 4. Filer's Sources of Compensation Exceeding \$5,000 in a Year

#	SOURCE NAME	CITY, STATE	BRIEF DESCRIPTION OF DUTIES
1	Law Offices of Michael J. Desmond, APC	Santa Barbara, California	Legal Services
2	Siegrist, Adolph & Diane	La Quinta, California	Legal Services
3	Wiget, Annick & Lewis, Michael	Santa Barbara, California	Legal Services
4	Lien, Arlene	Taipei, Outside U.S.	Legal Services
5	Butler America, LLC	Santa Barbara, California	Legal Services
6	Trustee, Candyce Martin 1999 Irrevocable Trust	Washington, District of Columbia	Legal Services
7	Trustee, Constance Martin Goodyear 1997 Irrevocable Trust	San Francisco, California	Legal Services
8	Wilsey, Diane	San Francisco, California	Legal Services

#	SOURCE NAME	CITY, STATE	BRIEF DESCRIPTION OF DUTIES
9	Esperer Holdings, Inc.	Santa Barbara, California	Legal Services
10	Murdoch, George & Katerina	Santa Barbara, California	Legal Services
11	Groo, LLC	Las Vegas, Nevada	Legal Services
12	Intuit Corp.	Mountain View, California	Legal Services
13	Eid, Issa	Dallas, Texas	Legal Services
14	J. A. Ted Baer, APC	Santa Barbara, California	Legal Services
15	Hillbroom, Junior	Hope, Idaho	Legal Services
16	Loudermilk, Leroy	Valparaiso, Indiana	Legal Services
17	Frech, Martin & Denise	Morristown, New Jersey	Legal Services
18	Cashman, Mary K.	Henderson, Nevada	Legal Services
19	Tricarichi, Michael	Las Vegas, Nevada	Legal Services
20	Tsao, Ming-Ling & Yeh, Tai-Ping	Milpitas, California	Legal Services
21	Rawat, Indu	Singapore, Outside U.S.	Legal Services
22	Janakiraman, Prakash	San Francisco, California	Legal Services
23	Kotick, Robert	Beverly Hills, California	Legal Services

#	SOURCE NAME	CITY, STATE	BRIEF DESCRIPTION OF DUTIES
24	Moss, Robert	Santa Barbara, California	Legal Services
25	Rechnitz, Shlomo	Los Angeles, California	Legal Services
26	Sorensen, Stephen & Shannon	Santa Barbara, California	Legal Services
27	Grynberg, Stephen	Santa Monica, California	Legal Services
28	Total Systems Services, Inc.	Columbus, Georgia	Arbitration Fee
29	Shroff, Vispi	Canyon Country, California	Legal Services
30	Wound Care Advantage LLC	Sierra Madre, California	Legal Services
31	Financial Industry Regulatory Authority, Inc.	Los Angeles, California	Arbitrator Fees

## 5. Spouse's Employment Assets & Income and Retirement Accounts

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	Bank of America Corp	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
2	Citigroup Inc.	N/A	\$1,001 - \$15,000		None (or less than \$201)
3	JPMorgan Chase & Co	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
4	Ishares North American Tech ETF	Yes	\$15,001 - \$50,000		\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
5	Ishares S&P 500 Growth ETF	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
6	Powershares Dynamic Mkt ETF	Yes	\$100,001 - \$250,000		\$5,001 - \$15,000
7	Vanguard FTSE Emerging Mkts ETF	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
8	Vanguard Growth ETF	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
9	Schwab Fundamental US Large Co Index	Yes	\$1,001 - \$15,000		\$201 - \$1,000
10	Ares Capital Corp	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
11	Ishares Select Dividend ETF	Yes	\$100,001 - \$250,000		\$5,001 - \$15,000
12	Schwab US Dividend Equity ETF	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
13	Schwab US Large Cap ETF	Yes	\$1,001 - \$15,000		\$201 - \$1,000
14	Vanguard Dividend Appreciation Fund ETF	Yes	\$50,001 - \$100,000		\$2,501 - \$5,000
15	Vanguard Energy ETF	Yes	\$1,001 - \$15,000		\$201 - \$1,000
16	Vanguard High Dividend Yield ETF	Yes	\$50,001 - \$100,000		\$2,501 - \$5,000
17	Vanguard Total Stock Mkt ETF	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
18	Schwab Markettrack All Equity	Yes	\$50,001 - \$100,000		\$1,001 - \$2,500
19	Vanguard Dividend Growth FD Investor Shares	Yes	\$100,001 - \$250,000		\$2,501 - \$5,000
20	Flagstone Pantry, Inc. (food retailer)	N/A		salary	



#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
21	Flagstone Pantry, Inc. (Stock)	N/A	\$50,001 - \$100,000		None (or less than \$201)

## 6. Other Assets and Income

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	Brokerage Account No. 1	No			
1.1	U.S. bank account # 1 (cash)	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
1.2	U.S. bank account # 2 (cash)	N/A	\$50,001 - \$100,000	Interest	\$1,001 - \$2,500
1.3	U.S. bank account # 3 (cash)	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
1.4	Apple Inc	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
1.5	Barnes Group Inc.	N/A	\$1,001 - \$15,000	Dividends	\$1,001 - \$2,500
1.6	Consolidated Communications Holdings, Inc.	N/A	\$15,001 - \$50,000	Dividends	\$5,001 - \$15,000
1.7	Putnam Premier Income	Yes	\$1,001 - \$15,000		\$201 - \$1,000
1.8	United Parcel Service	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
1.9	3M Company	N/A	\$50,001 - \$100,000	Dividends	\$1,001 - \$2,500
1.10	Ishares MSCI Mexico ETF	Yes	\$1,001 - \$15,000		\$201 - \$1,000
1.11	Schwab Emerging Markets Equity ETF	Yes	\$100,001 - \$250,000		\$2,501 - \$5,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1.12	Schwab Fundamental US Broad Mkt ETF	Yes	\$100,001 - \$250,000		\$5,001 - \$15,000
1.13	Schwab International Equity ETF	Yes	\$100,001 - \$250,000		\$5,001 - \$15,000
1.14	Schwab International Small Cap EQY ETF	Yes	\$50,001 - \$100,000		\$2,501 - \$5,000
1.15	Schwab US Broad Mkt ETF	Yes	\$100,001 - \$250,000		\$5,001 - \$15,000
1.16	Schwab US Dividend Equity ETF	Yes	\$100,001 - \$250,000		\$5,001 - \$15,000
1.17	Schwab US Large-Cap ETF	Yes	\$50,001 - \$100,000		\$2,501 - \$5,000
1.18	Vanguard Extended Market Index Fund ETF	Yes	\$250,001 - \$500,000		\$5,001 - \$15,000
1.19	Vanguard Growth ETF	Yes	\$100,001 - \$250,000		\$2,501 - \$5,000
1.20	Vanguard Healthcare ETF	Yes	\$50,001 - \$100,000		\$1,001 - \$2,500
1.21	Vanguard Materials ETF	Yes	\$50,001 - \$100,000		\$2,501 - \$5,000
1.22	Vanguard Mid Cap Growth	Yes	\$100,001 - \$250,000		\$1,001 - \$2,500
1.23	Vanguard Short-Term Bond ETF	Yes	\$100,001 - \$250,000		\$2,501 - \$5,000
1.24	Vanguard Utilities ETF	Yes	\$50,001 - \$100,000		\$5,001 - \$15,000
1.25	Vanguard Short-Term Bond Index Fund Investor Shares	Yes	\$100,001 - \$250,000		\$5,001 - \$15,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1.26	Dreyfus S&P 500 Index	Yes	\$100,001 - \$250,000		\$5,001 - \$15,000
1.27	Janus Henderson Research Fund	Yes	\$250,001 - \$500,000		\$1,001 - \$2,500
1.28	Jensen Quality Growth Fund	Yes	\$100,001 - \$250,000		\$1,001 - \$2,500
1.29	Mainstay Epoch Intl Choice Fund	Yes	\$50,001 - \$100,000		\$2,501 - \$5,000
1.30	Oakmark Intl Small Cap Fund	Yes	\$100,001 - \$250,000		None (or less than \$201)
1.31	Rainier Small Mid Cap Equity Fund	Yes	\$100,001 - \$250,000		None (or less than \$201)
1.32	Schwab 1000 Index Fund	Yes	\$250,001 - \$500,000		\$5,001 - \$15,000
1.33	Selected American Shares	Yes	\$15,001 - \$50,000		\$201 - \$1,000
1.34	Vanguard Growth & Income Fund	Yes	\$15,001 - \$50,000		\$201 - \$1,000
1.35	Vanguard 500 Index Fund	Yes	\$15,001 - \$50,000		\$201 - \$1,000
1.36	Ingram Micro, Inc	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$15,001 - \$50,000
2	Brokerage Account No. 2	No			
2.1	U.S. bank account # 4 (cash)	N/A	\$50,001 - \$100,000	Interest	\$1,001 - \$2,500
2.2	Chevron Corporation	N/A	\$250,001 - \$500,000	Dividends	\$15,001 - \$50,000
2.3	Consolidated Communications Holdings, Inc.	N/A	\$1,001 - \$15,000	Dividends	\$1,001 - \$2,500

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
2.4	General Electric Co	N/A	\$1,001 - \$15,000	Dividends	\$1,001 - \$2,500
2.5	IBM Corp	N/A	\$15,001 - \$50,000	Dividends	\$2,501 - \$5,000
2.6	Nuveen AMT-Free Quality Municipal Income Fund	Yes	\$1,001 - \$15,000		\$201 - \$1,000
2.7	PG&E Corp	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
2.8	Putnam Premier Income Trust	Yes	\$1,001 - \$15,000		\$201 - \$1,000
2.9	Wal-Mart Stores Inc.	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.10	Charles Schwab US MC ETF	Yes	\$50,001 - \$100,000		\$1,001 - \$2,500
2.11	Schwab Intl Equity ETF	Yes	\$100,001 - \$250,000		\$5,001 - \$15,000
2.12	Schwab Intl Small Cap EQY ETF	Yes	\$100,001 - \$250,000		\$2,501 - \$5,000
2.13	Schwab US Large Cap Growth ETF	Yes	\$250,001 - \$500,000		\$5,001 - \$15,000
2.14	Schwab US Small Cap ETF	Yes	\$100,001 - \$250,000		\$1,001 - \$2,500
2.15	Vanguard High Dividend Yield ETF	Yes	\$250,001 - \$500,000		\$15,001 - \$50,000
3	U.S. bank account # 5 (cash)	N/A	\$50,001 - \$100,000		None (or less than \$201)
4	Brokerage Account No. 3	No			
4.1	U.S. brokerage account (cash)	N/A	\$1,001 - \$15,000		None (or less than \$201)
4.2	Vanguard Whitehall FDS High Dividend Yield ETF	Yes	\$100,001 - \$250,000		\$5,001 - \$15,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
5	U.S. credit union accounts (cash)	N/A	None (or less than \$1,001)	Interest	\$201 - \$1,000
6	Health Savings Account	No			
6.1	Vanguard Extended Market Index Fund Admiral Shares	Yes	\$1,001 - \$15,000		None (or less than \$201)
6.2	Vanguard Intl Growth Fund Admiral Shares	Yes	\$1,001 - \$15,000		None (or less than \$201)
6.3	Vanguard Small Cap Index Fund Admiral Shares	Yes	\$1,001 - \$15,000		None (or less than \$201)
6.4	Vanguard Star Fund	Yes	\$50,001 - \$100,000		\$1,001 - \$2,500
6.5	Vanguard Strategic Equity Fund	Yes	\$1,001 - \$15,000		None (or less than \$201)

## 7. Transactions

(N/A) - Not required for this type of report

## 8. Liabilities

#	CREDITOR NAME	TYPE	AMOUNT	YEAR INCURRED	RATE	TERM
1	First Republic Bank	Mortgage on Personal Residence	\$500,001 - \$1,000,000	2016	2.65%	15 Years
2	American Express	Credit Card	\$10,001 - \$15,000	2017	16.99%	Revolving credit line.

## 9. Gifts and Travel Reimbursements

(N/A) - Not required for this type of report

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### Endnotes

# Summary of Contents

## 1. Filer's Positions Held Outside United States Government

Part 1 discloses positions that the filer held at any time during the reporting period (excluding positions with the United States Government). Positions are reportable even if the filer did not receive compensation.

This section does not include the following: (1) positions with religious, social, fraternal, or political organizations; (2) positions solely of an honorary nature; (3) positions held as part of the filer's official duties with the United States Government; (4) mere membership in an organization; and (5) passive investment interests as a limited partner or non-managing member of a limited liability company.

## 2. Filer's Employment Assets & Income and Retirement Accounts

Part 2 discloses the following:

- Sources of earned and other non-investment income of the filer totaling more than \$200 during the reporting period (e.g., salary, fees, partnership share, honoraria, scholarships, and prizes)
- Assets related to the filer's business, employment, or other income-generating activities that (1) ended the reporting period with a value greater than \$1,000 or (2) produced more than \$200 in income during the reporting period (e.g., equity in business or partnership, stock options, retirement plans/accounts and their underlying holdings as appropriate, deferred compensation, and intellectual property, such as book deals and patents)

This section does not include assets or income from United States Government employment or assets that were acquired separately from the filer's business, employment, or other income-generating activities (e.g., assets purchased through a brokerage account). Note: The type of income is not required if the amount of income is \$0 - \$200 or if the asset qualifies as an excepted investment fund (EIF).

## 3. Filer's Employment Agreements and Arrangements

Part 3 discloses agreements or arrangements that the filer had during the reporting period with an employer or former employer (except the United States Government), such as the following:

- Future employment
- Leave of absence
- Continuing payments from an employer, including severance and payments not yet received for previous work (excluding ordinary salary from a current employer)
- Continuing participation in an employee welfare, retirement, or other benefit plan, such as pensions or a deferred compensation plan
- Retention or disposition of employer-awarded equity, sharing in profits or carried interests (e.g., vested and unvested stock options, restricted stock, future share of a company's profits, etc.)

#### **4. Filer's Sources of Compensation Exceeding \$5,000 in a Year**

Part 4 discloses sources (except the United States Government) that paid more than \$5,000 in a calendar year for the filer's services during any year of the reporting period.

The filer discloses payments both from employers and from any clients to whom the filer personally provided services. The filer discloses a source even if the source made its payment to the filer's employer and not to the filer. The filer does not disclose a client's payment to the filer's employer if the filer did not provide the services for which the client is paying.

#### **5. Spouse's Employment Assets & Income and Retirement Accounts**

Part 5 discloses the following:

- Sources of earned income (excluding honoraria) for the filer's spouse totaling more than \$1,000 during the reporting period (e.g., salary, consulting fees, and partnership share)
- Sources of honoraria for the filer's spouse greater than \$200 during the reporting period
- Assets related to the filer's spouse's employment, business activities, other income-generating activities that (1) ended the reporting period with a value greater than \$1,000 or (2) produced more than \$200 in income during the reporting period (e.g., equity in business or partnership, stock options, retirement plans/accounts and their underlying holdings as appropriate, deferred compensation, and intellectual property, such as book deals and patents)

This section does not include assets or income from United States Government employment or assets that were acquired separately from the filer's spouse's business, employment, or other income-generating activities (e.g., assets purchased through a brokerage account). Note: The type of income is not required if the amount of income is \$0 - \$200 or if the asset qualifies as an excepted investment fund (EIF). Amounts of income are not required for a spouse's earned income (excluding honoraria).

#### **6. Other Assets and Income**

Part 6 discloses each asset, not already reported, that (1) ended the reporting period with a value greater than \$1,000 or (2) produced more than \$200 in investment income during the reporting period. For purposes of the value and income thresholds, the filer aggregates the filer's interests with those of the filer's spouse and dependent children.

This section does not include the following types of assets: (1) a personal residence (unless it was rented out during the reporting period); (2) income or retirement benefits associated with United States Government employment (e.g., Thrift Savings Plan); and (3) cash accounts (e.g., checking, savings, money market accounts) at a single financial institution with a value of \$5,000 or less (unless more than \$200 of income was produced). Additional exceptions apply. Note: The type of income is not required if the amount of income is \$0 - \$200 or if the asset qualifies as an excepted investment fund (EIF).

#### **7. Transactions**



Part 7 discloses purchases, sales, or exchanges of real property or securities in excess of \$1,000 made on behalf of the filer, the filer's spouse or dependent child during reporting period.

This section does not include transactions that concern the following: (1) a personal residence, unless rented out; (2) cash accounts (e.g., checking, savings, CDs, money market accounts) and money market mutual funds; (3) Treasury bills, bonds, and notes; and (4) holdings within a federal Thrift Savings Plan account. Additional exceptions apply.

## **8. Liabilities**

Part 8 discloses liabilities over \$10,000 that the filer, the filer's spouse or dependent child owed at any time during the reporting period.

This section does not include the following types of liabilities: (1) mortgages on a personal residence, unless rented out (limitations apply for PAS filers); (2) loans secured by a personal motor vehicle, household furniture, or appliances, unless the loan exceeds the item's purchase price; and (3) revolving charge accounts, such as credit card balances, if the outstanding liability did not exceed \$10,000 at the end of the reporting period. Additional exceptions apply.

## **9. Gifts and Travel Reimbursements**

This section discloses:

- Gifts totaling more than \$390 that the filer, the filer's spouse, and dependent children received from any one source during the reporting period.
- Travel reimbursements totaling more than \$390 that the filer, the filer's spouse, and dependent children received from any one source during the reporting period.

For purposes of this section, the filer need not aggregate any gift or travel reimbursement with a value of \$156 or less. Regardless of the value, this section does not include the following items: (1) anything received from relatives; (2) anything received from the United States Government or from the District of Columbia, state, or local governments; (3) bequests and other forms of inheritance; (4) gifts and travel reimbursements given to the filer's agency in connection with the filer's official travel; (5) gifts of hospitality (food, lodging, entertainment) at the donor's residence or personal premises; and (6) anything received by the filer's spouse or dependent children totally independent of their relationship to the filer. Additional exceptions apply.

## Privacy Act Statement

Title I of the Ethics in Government Act of 1978, as amended (the Act), 5 U.S.C. app. § 101 et seq., as amended by the Stop Trading on Congressional Knowledge Act of 2012 (Pub. L. 112-105) (STOCK Act), and 5 C.F.R. Part 2634 of the U. S. Office of Government Ethics regulations require the reporting of this information. The primary use of the information on this report is for review by Government officials to determine compliance with applicable Federal laws and regulations. This report may also be disclosed upon request to any requesting person in accordance with sections 105 and 402(b)(1) of the Act or as otherwise authorized by law. You may inspect applications for public access of your own form upon request. Additional disclosures of the information on this report may be made: (1) to any requesting person, subject to the limitation contained in section 208(d)(1) of title 18, any determination granting an exemption pursuant to sections 208(b)(1) and 208(b)(3) of title 18; (2) to a Federal, State, or local law enforcement agency if the disclosing agency becomes aware of violations or potential violations of law or regulation; (3) to another Federal agency, court or party in a court or Federal administrative proceeding when the Government is a party or in order to comply with a judge-issued subpoena; (4) to a source when necessary to obtain information relevant to a conflict of interest investigation or determination; (5) to the National Archives and Records Administration or the General Services Administration in records management inspections; (6) to the Office of Management and Budget during legislative coordination on private relief legislation; (7) to the Department of Justice or in certain legal proceedings when the disclosing agency, an employee of the disclosing agency, or the United States is a party to litigation or has an interest in the litigation and the use of such records is deemed relevant and necessary to the litigation; (8) to reviewing officials in a new office, department or agency when an employee transfers or is detailed from one covered position to another; (9) to a Member of Congress or a congressional office in response to an inquiry made on behalf of an individual who is the subject of the record; (10) to contractors and other non-Government employees working on a contract, service or assignment for the Federal Government when necessary to accomplish a function related to an OGE Government-wide system of records; and (11) on the OGE Website and to any person, department or agency, any written ethics agreement filed with OGE by an individual nominated by the President to a position requiring Senate confirmation. See also the OGE/GOVT-1 executive branch-wide Privacy Act system of records.

## Public Burden Information

This collection of information is estimated to take an average of three hours per response, including time for reviewing the instructions, gathering the data needed, and completing the form. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Program Counsel, U.S. Office of Government Ethics (OGE), Suite 500, 1201 New York Avenue, NW., Washington, DC 20005-3917.

Pursuant to the Paperwork Reduction Act, as amended, an agency may not conduct or sponsor, and no person is required to respond to, a collection of information unless it displays a currently valid OMB control number (that number, 3209-0001, is displayed here and at the top of the first page of this OGE Form 278e).

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